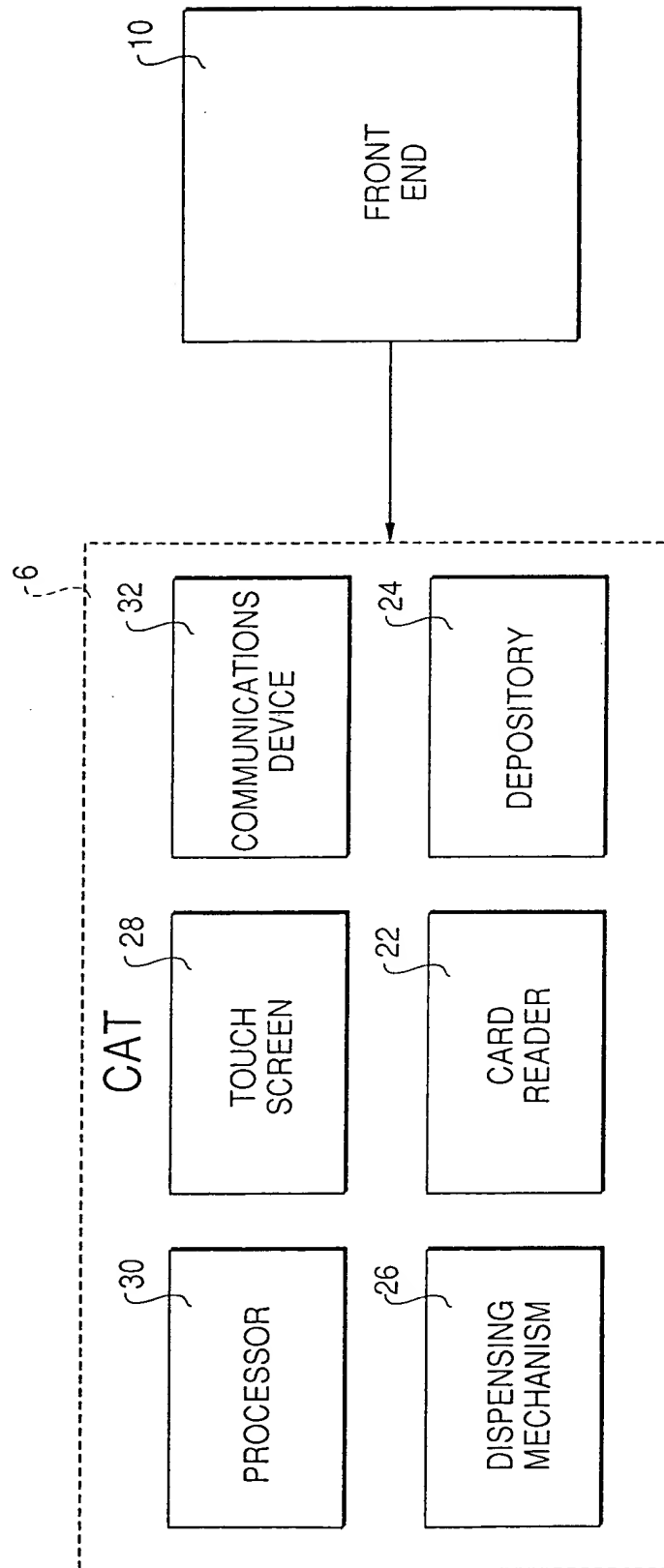




FIG. 1B



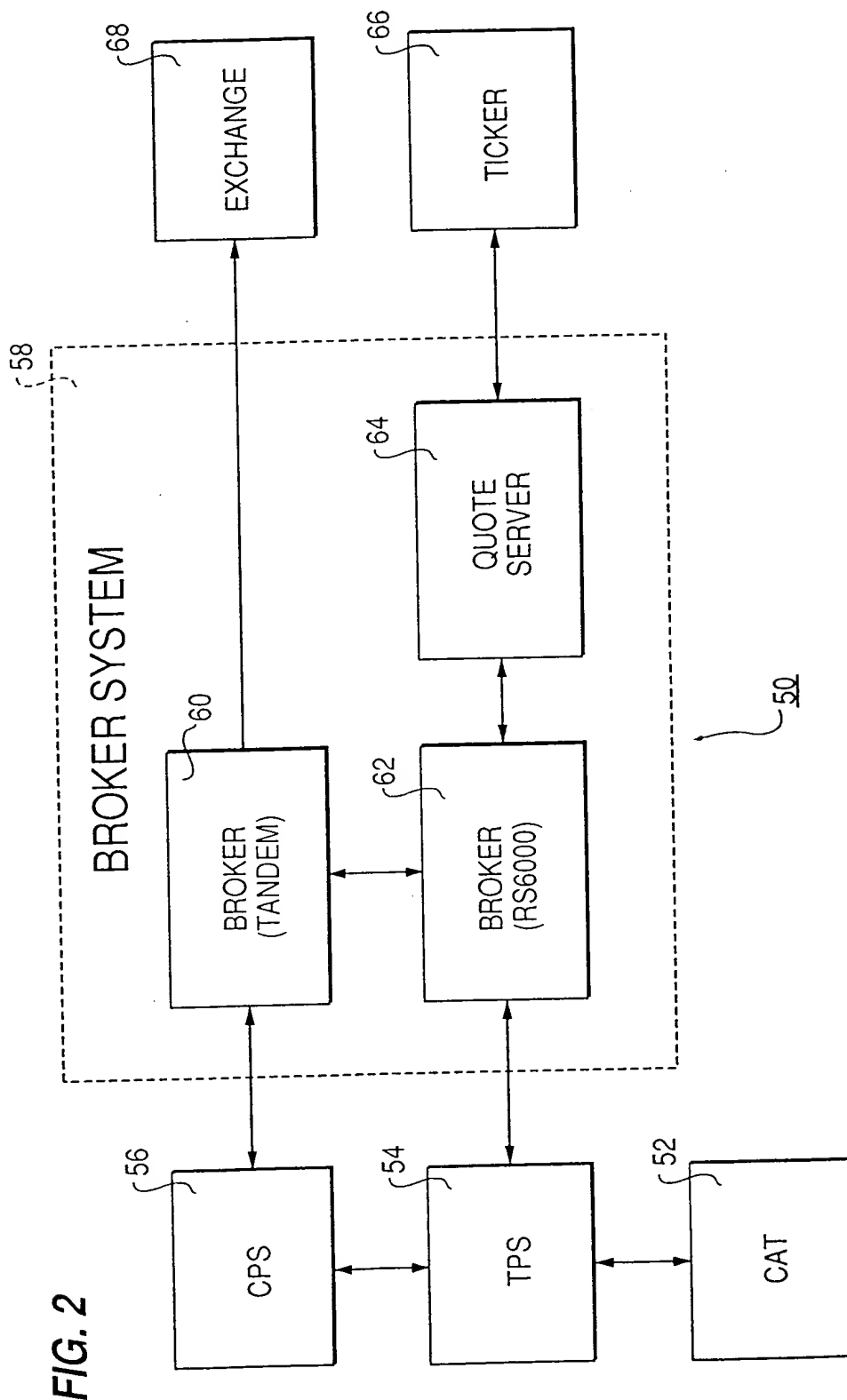
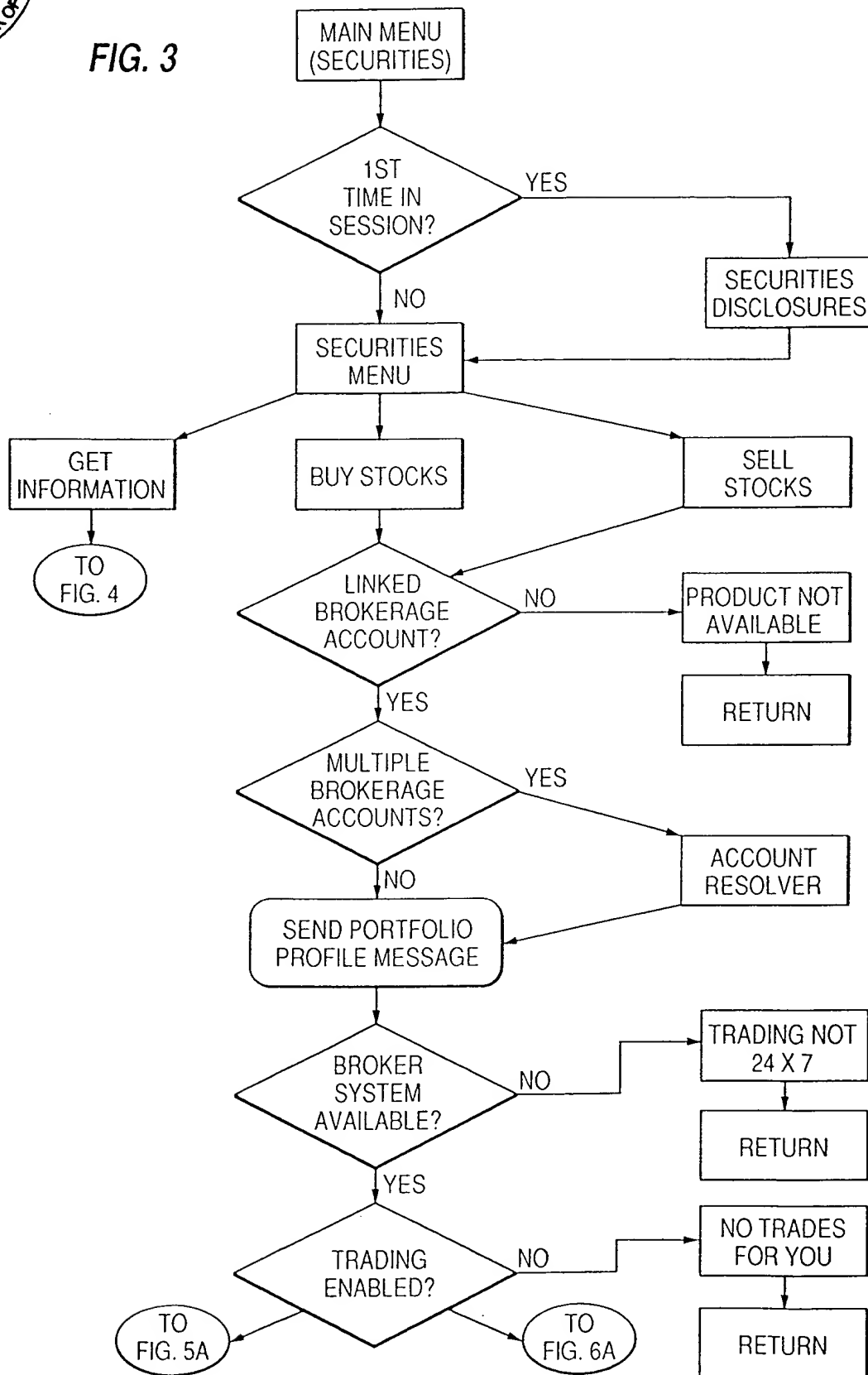




FIG. 3



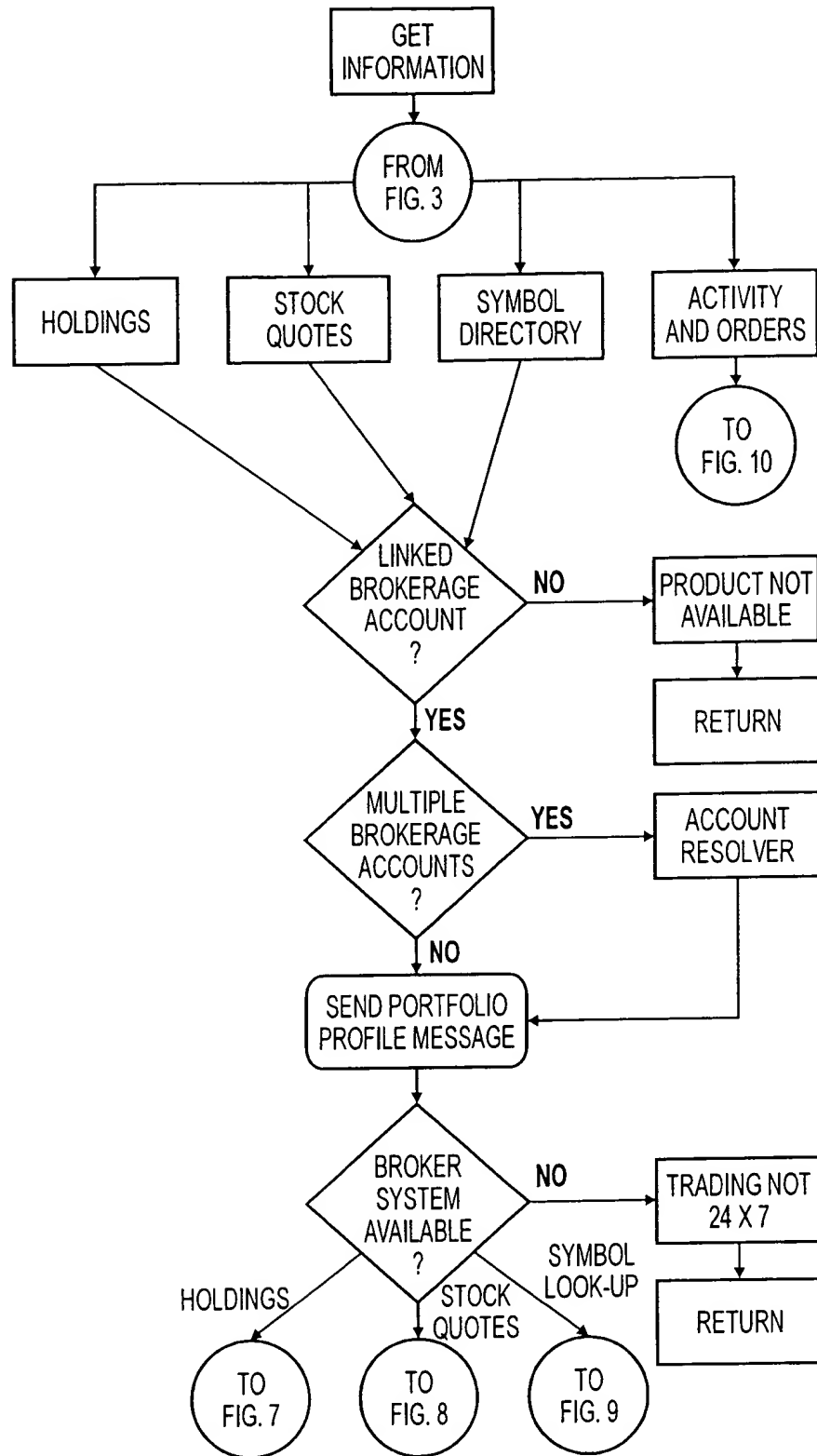


FIG. 4

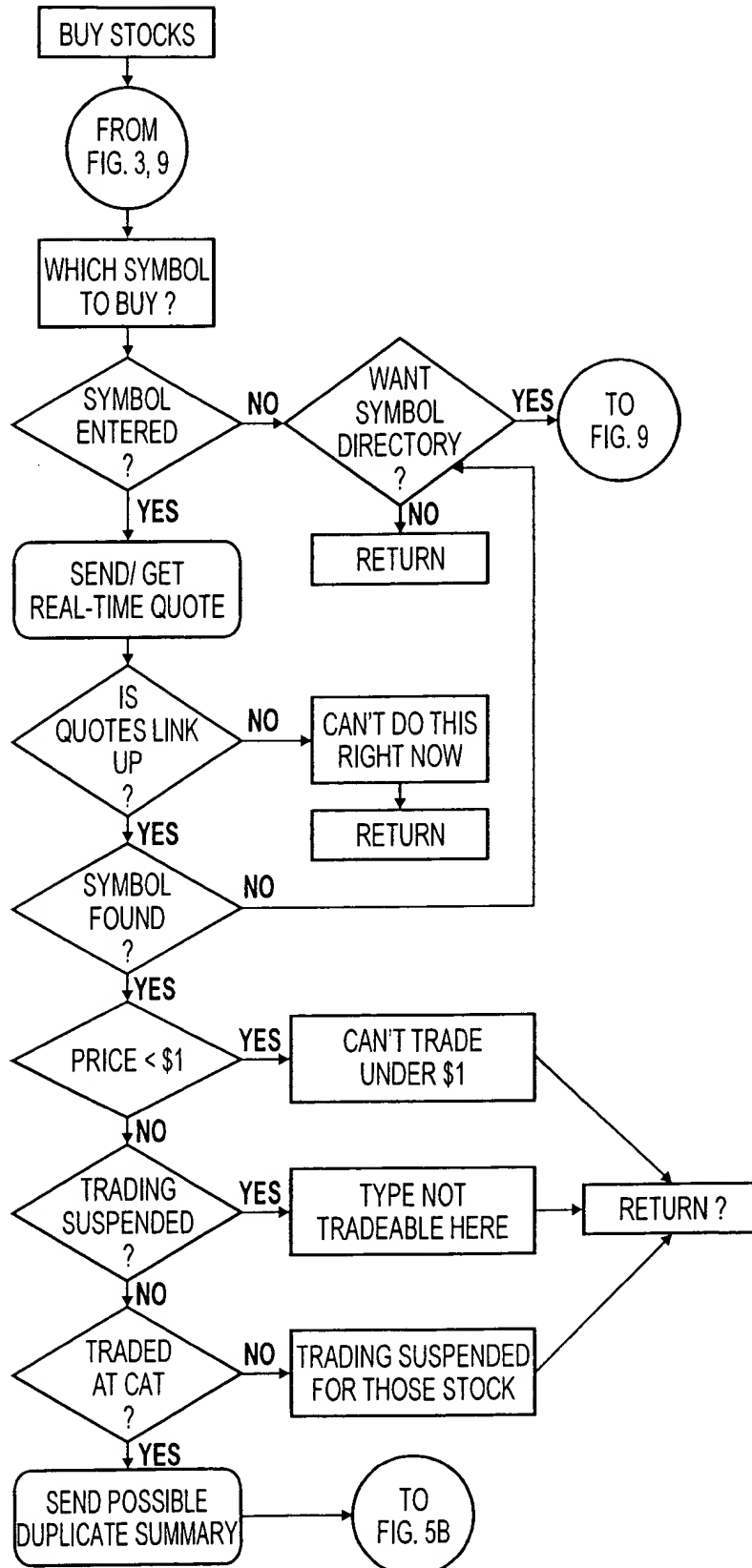


FIG. 5A



FIG. 5B

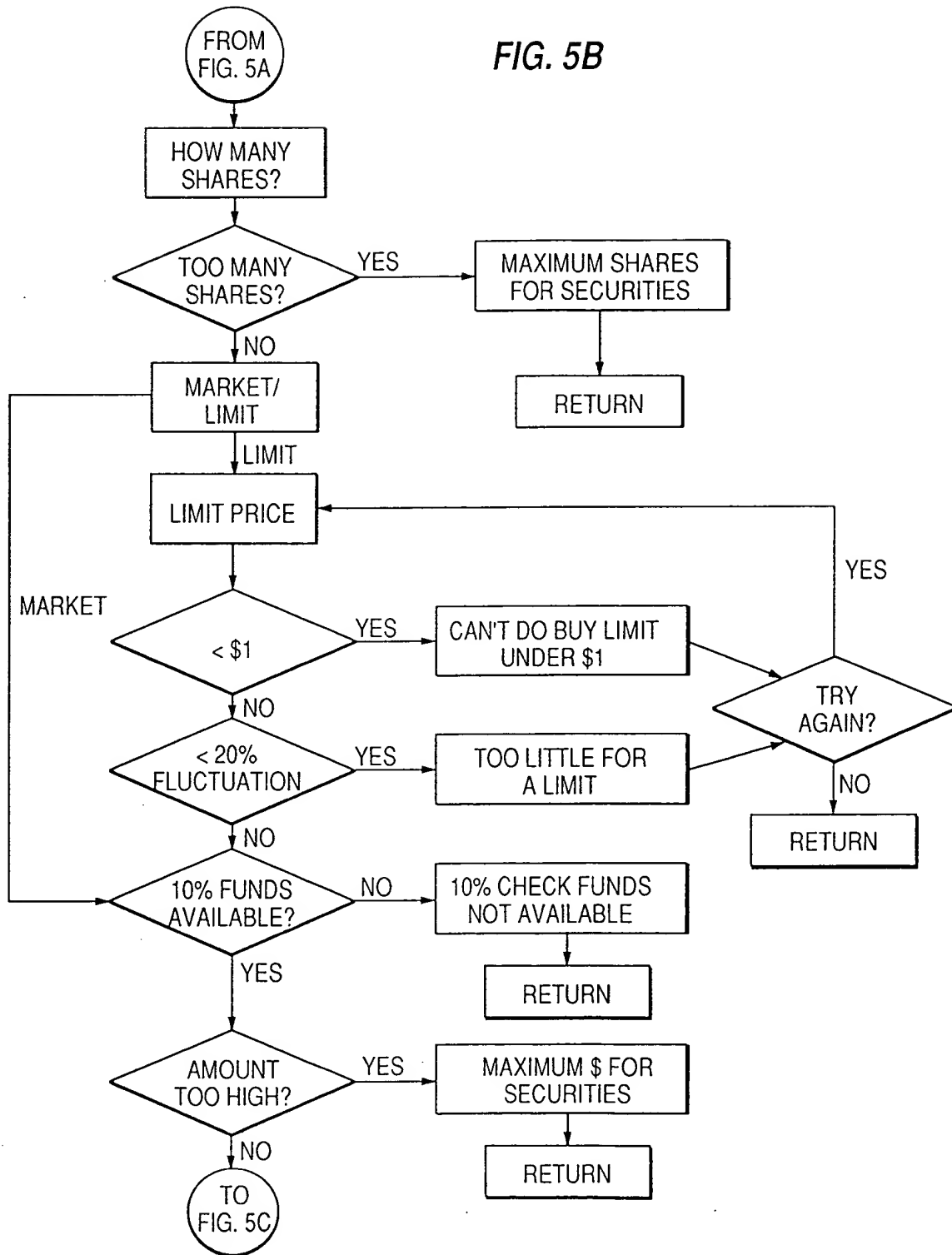
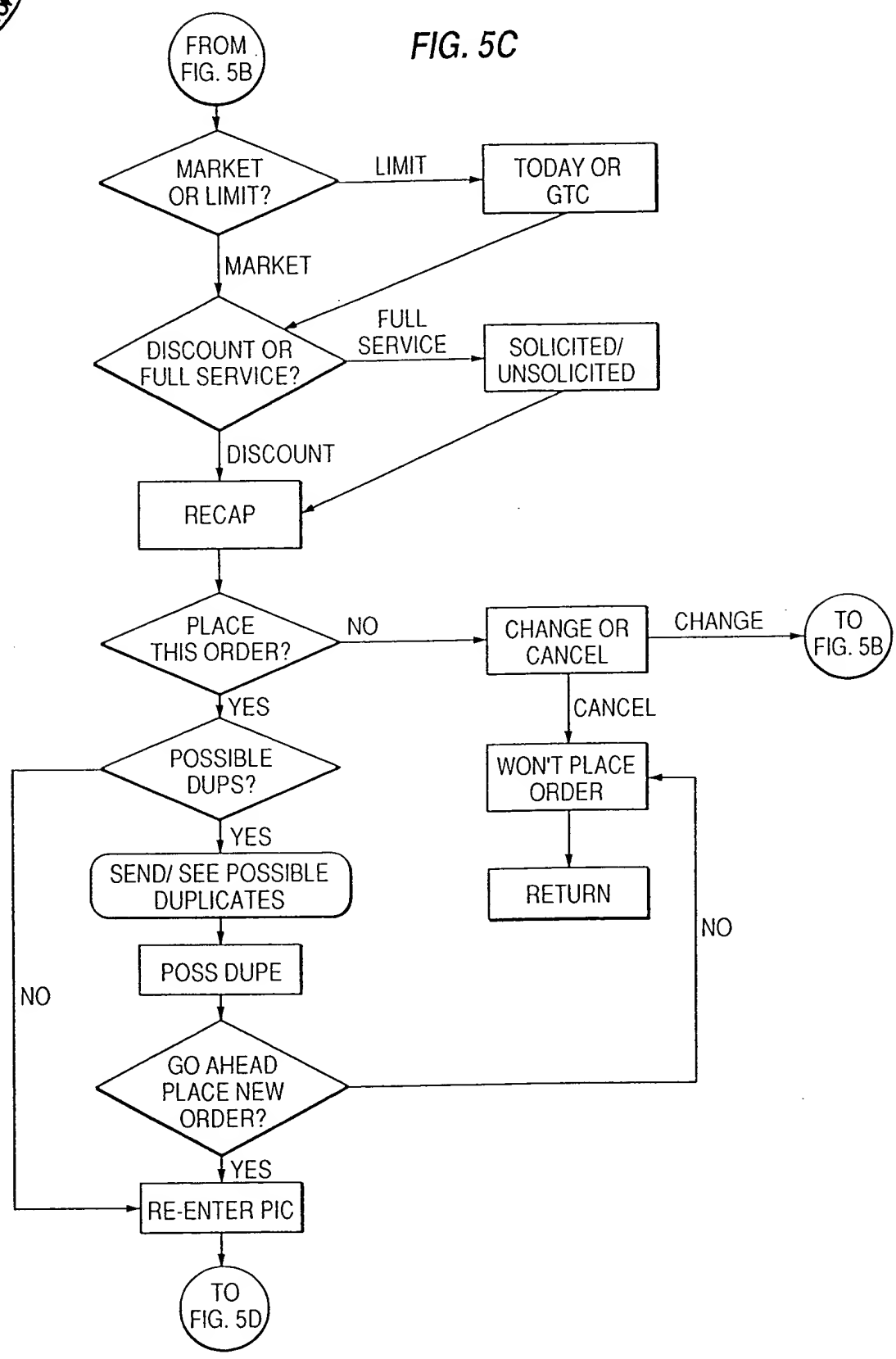




FIG. 5C



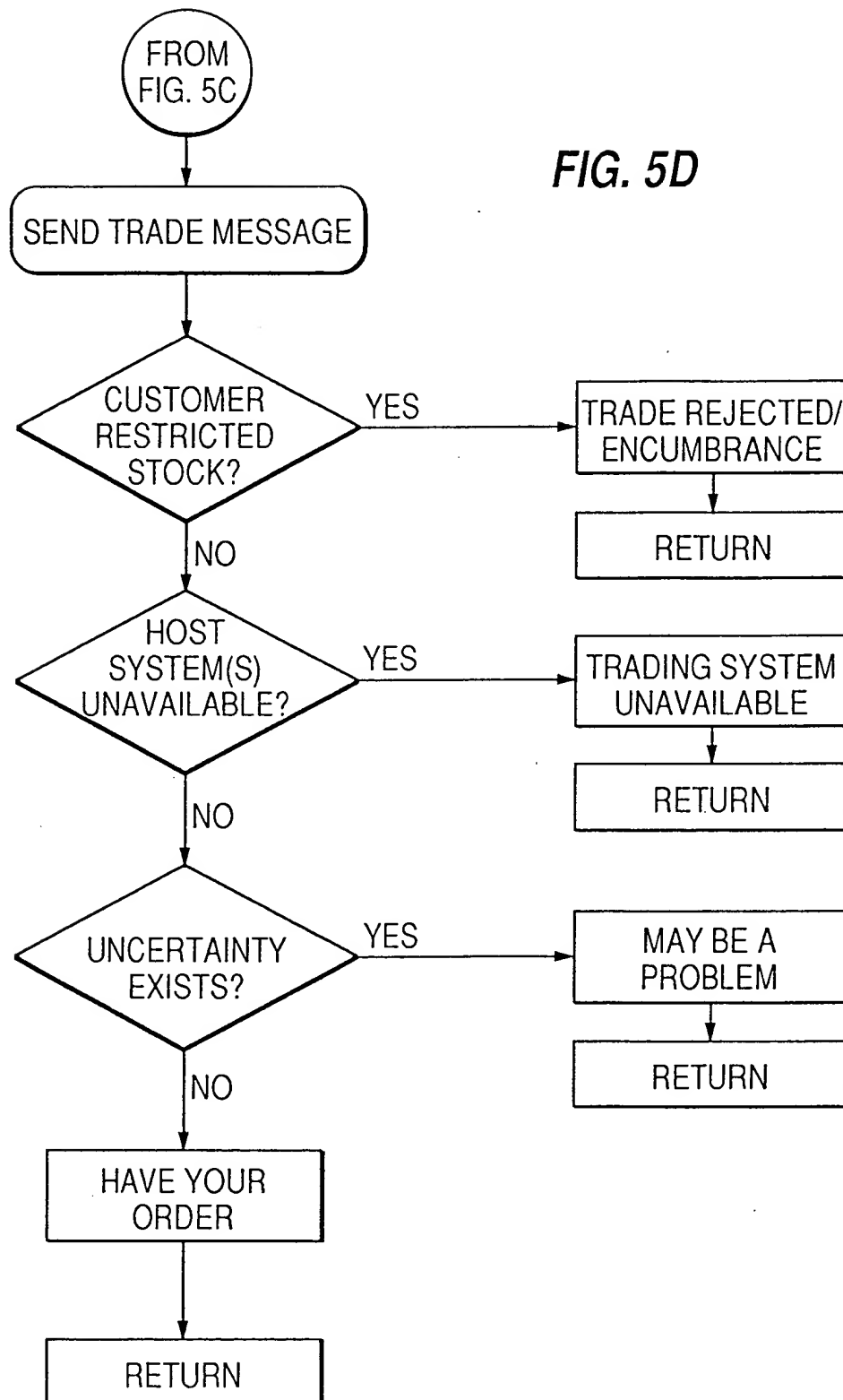
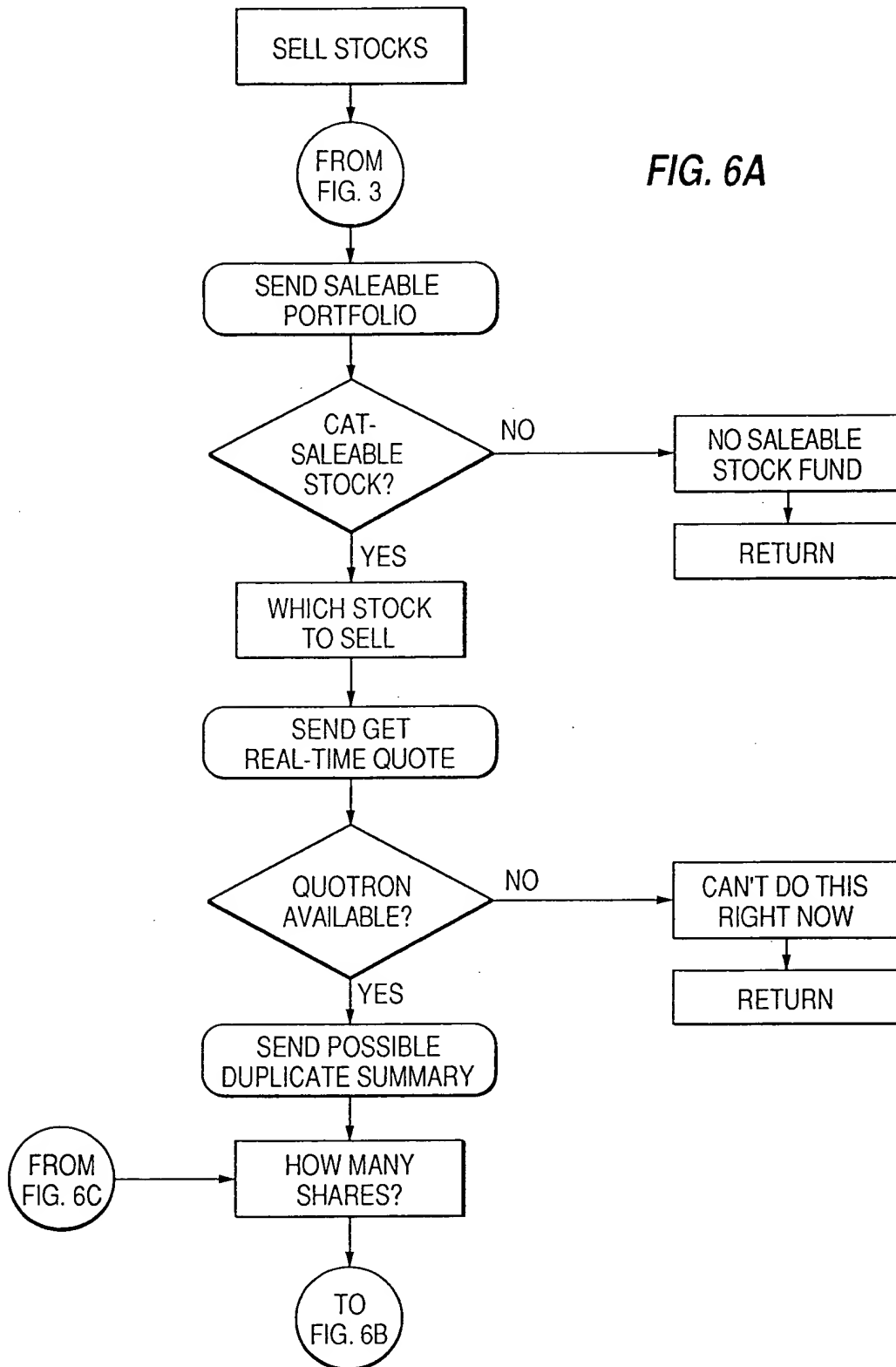




FIG. 6A



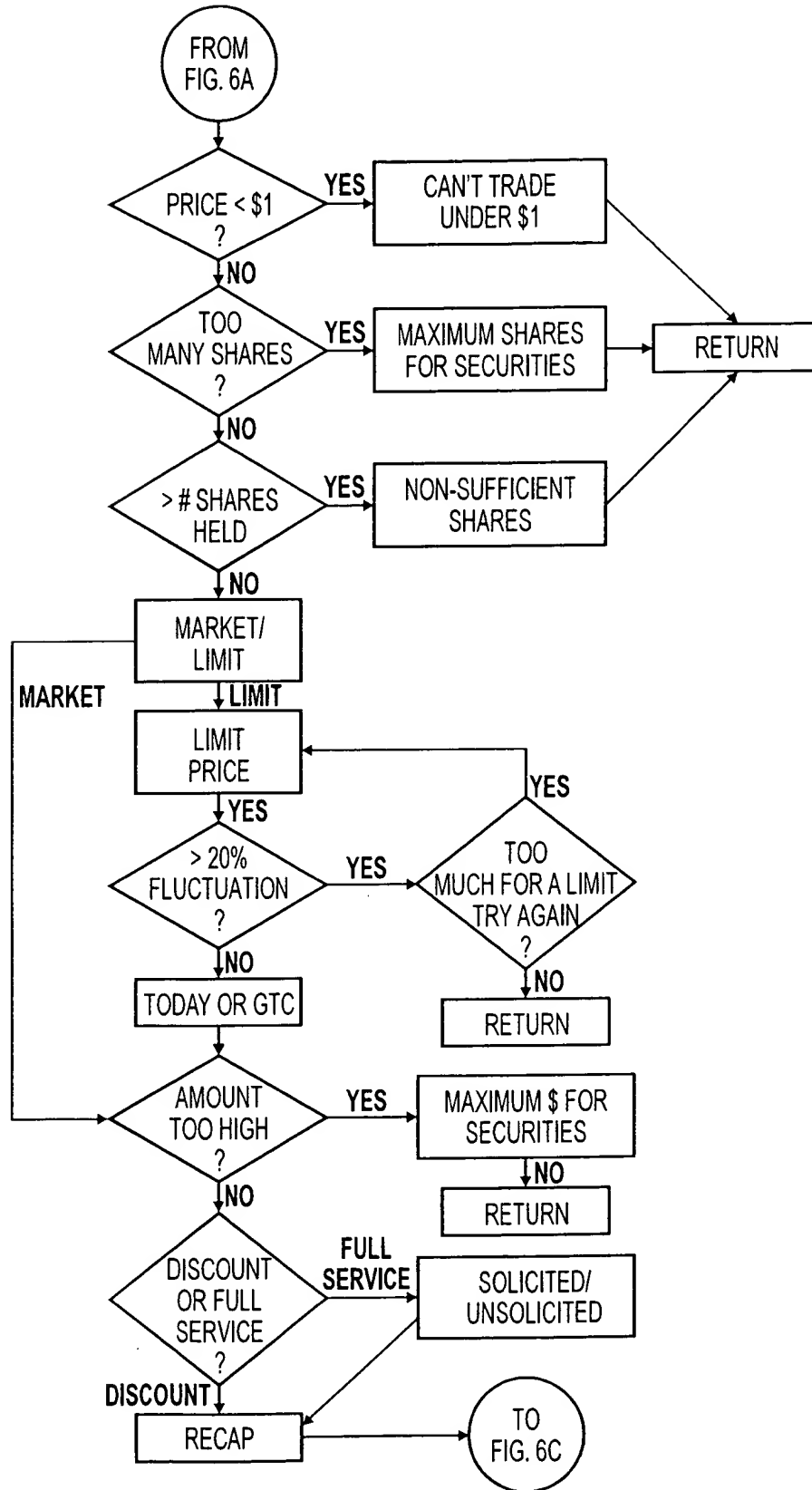


FIG. 6B

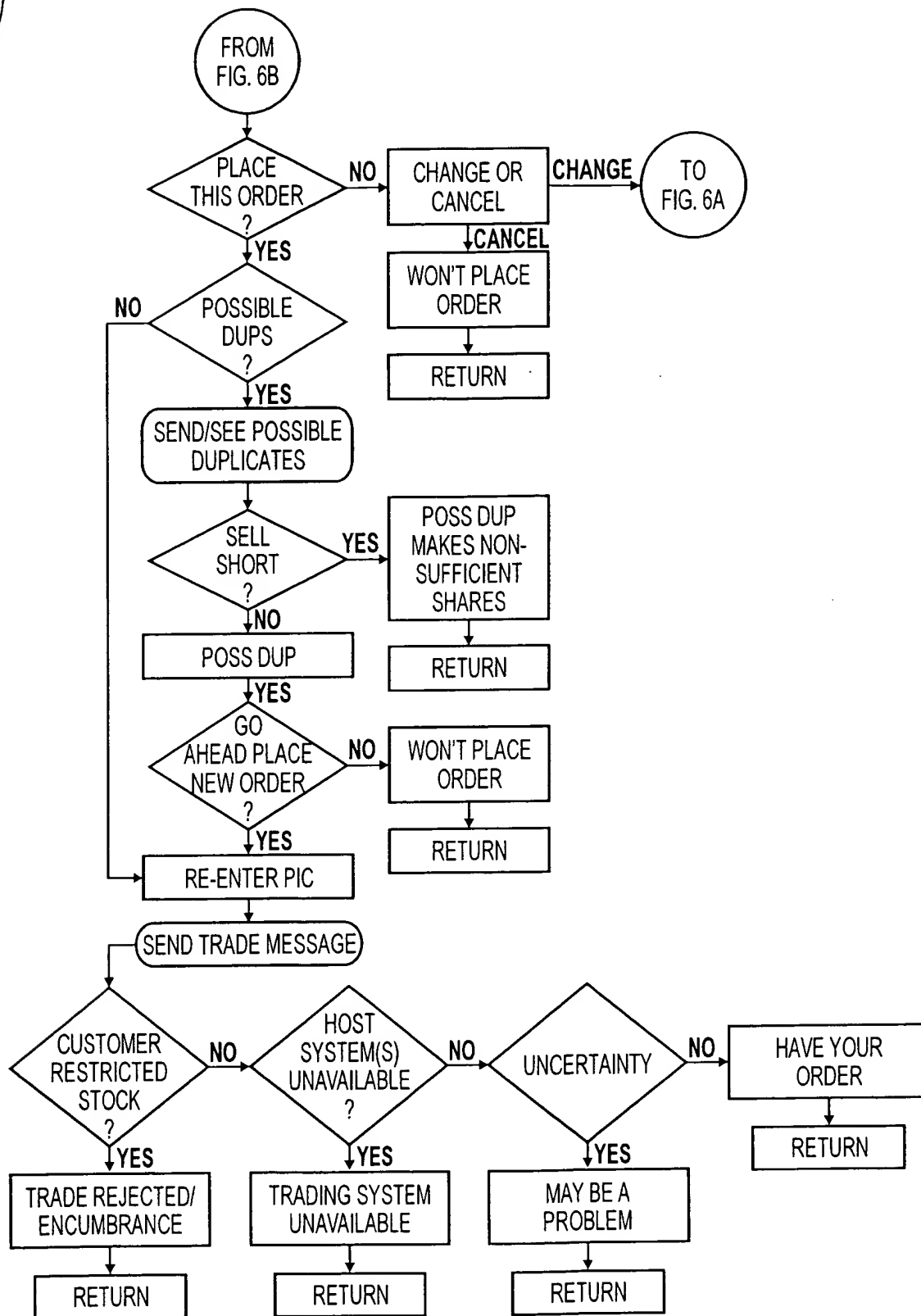
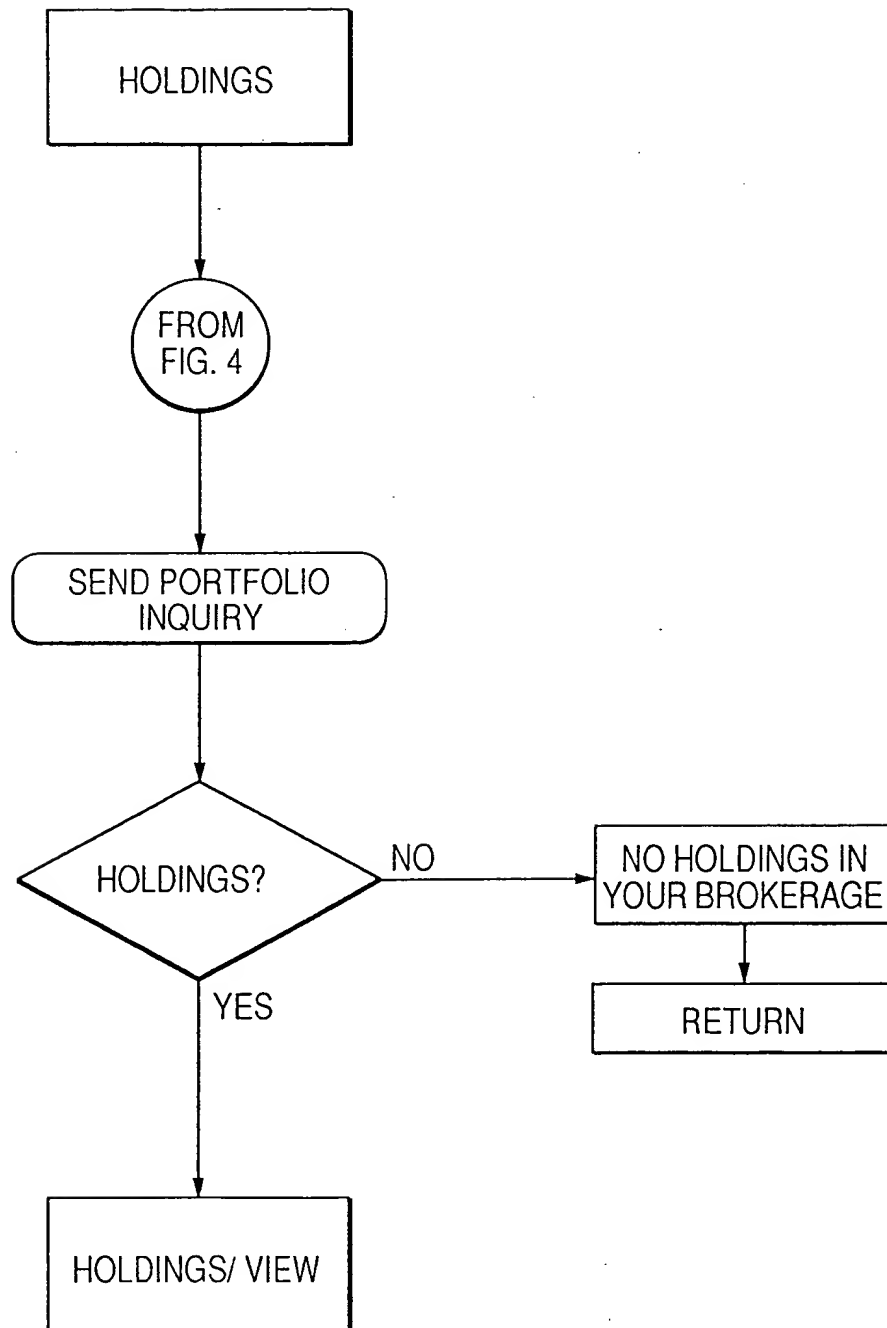


FIG. 6C



FIG. 7



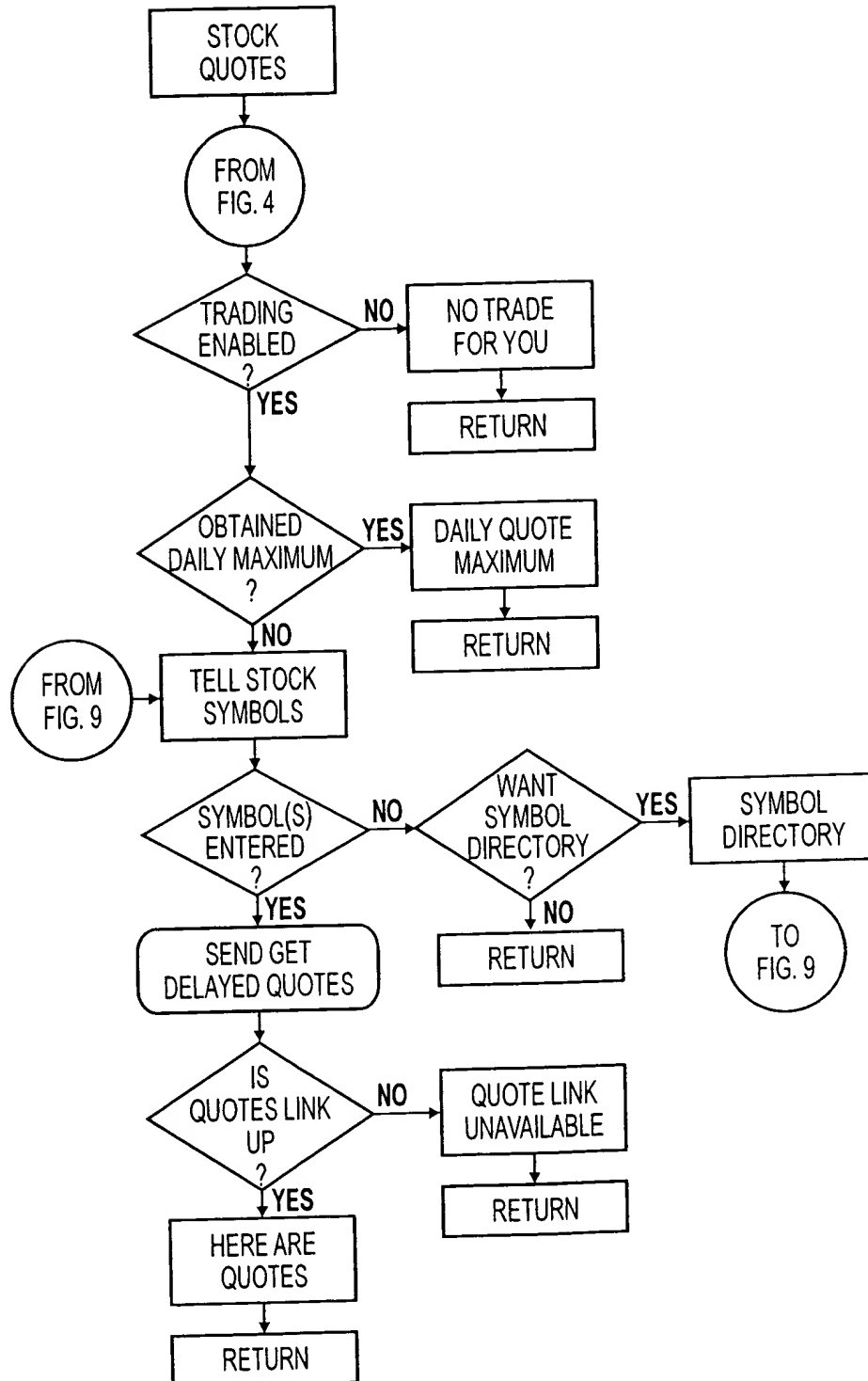


FIG. 8



FIG. 9

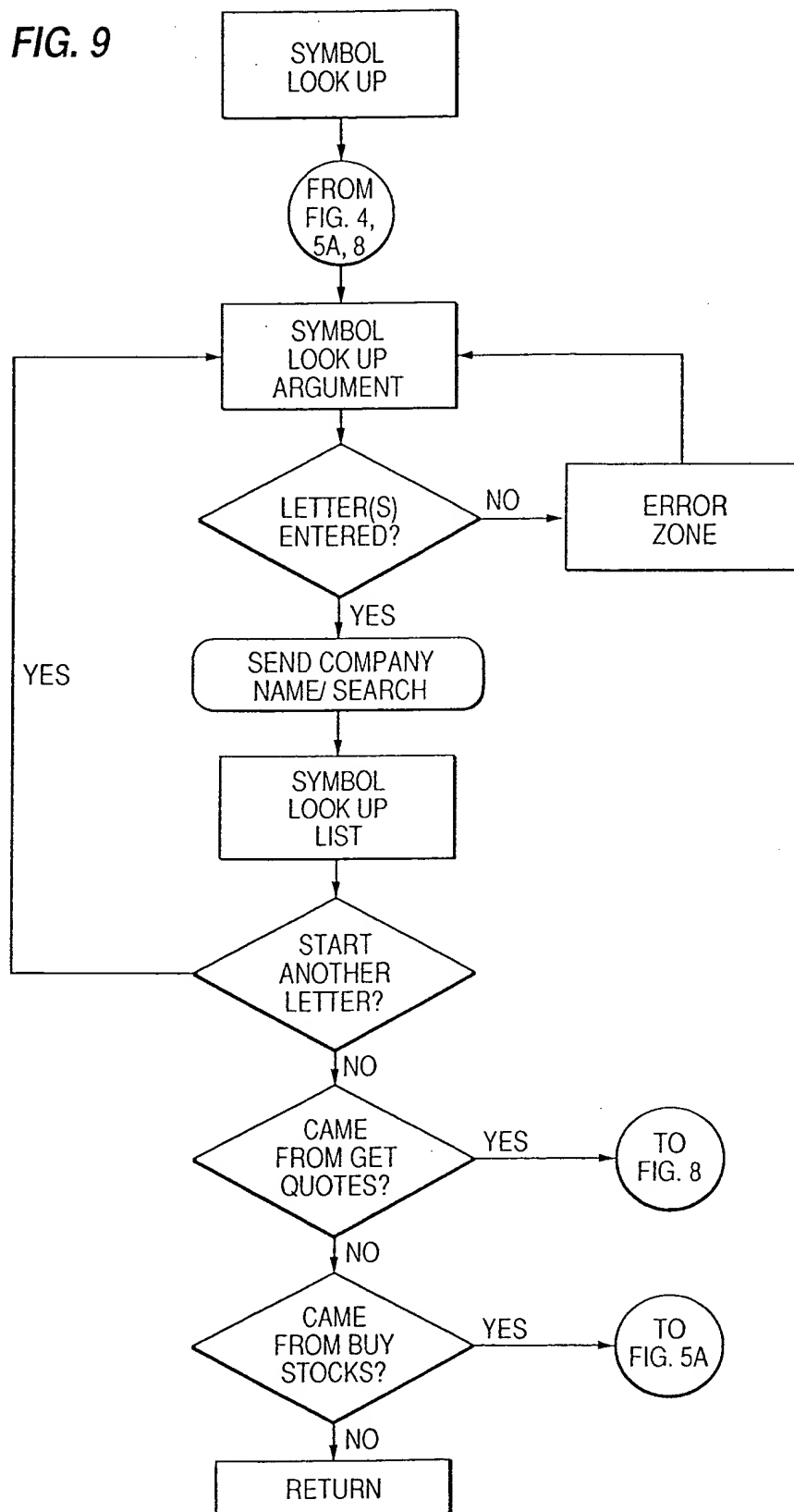




FIG. 10

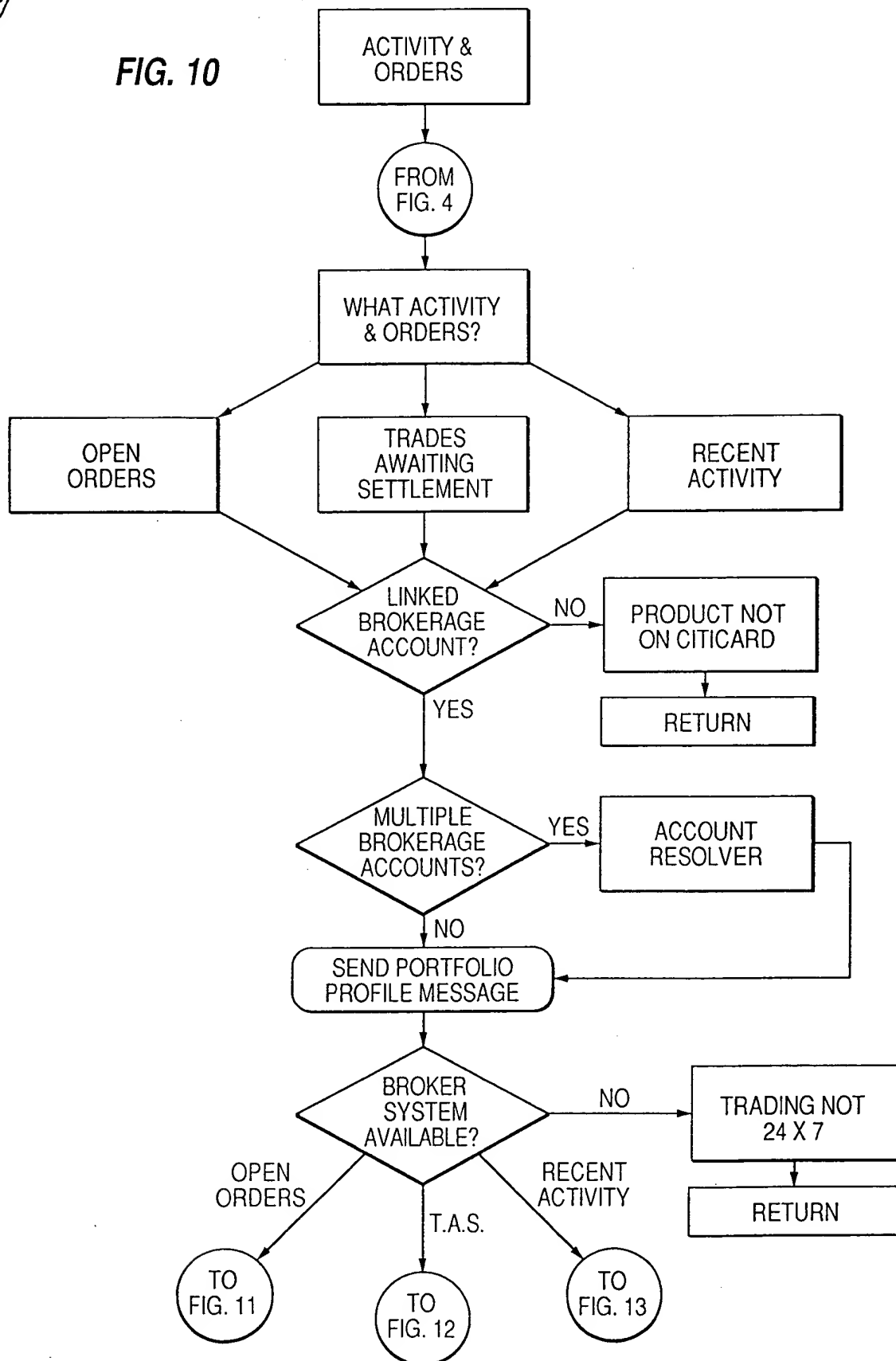




FIG. 11

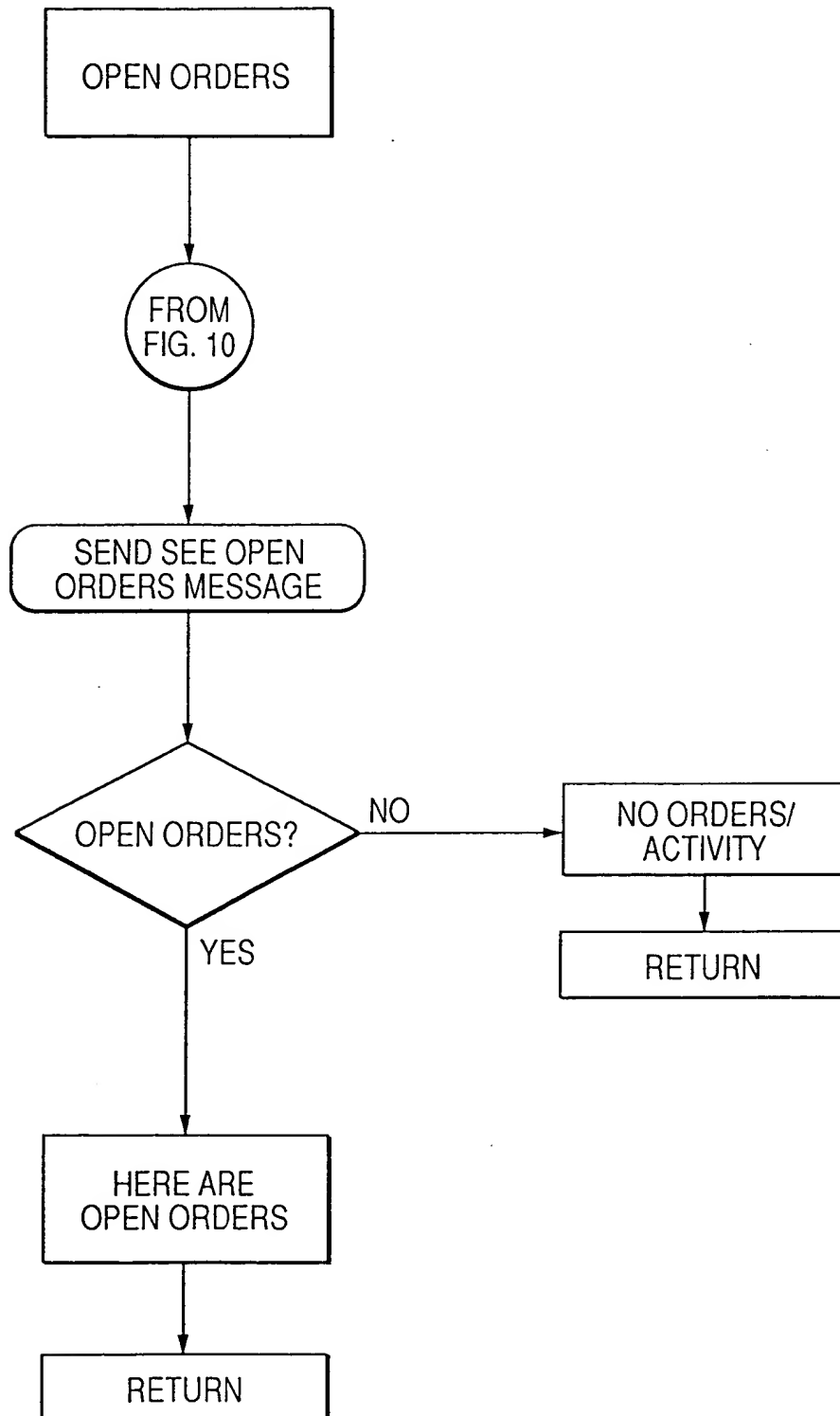




FIG. 12

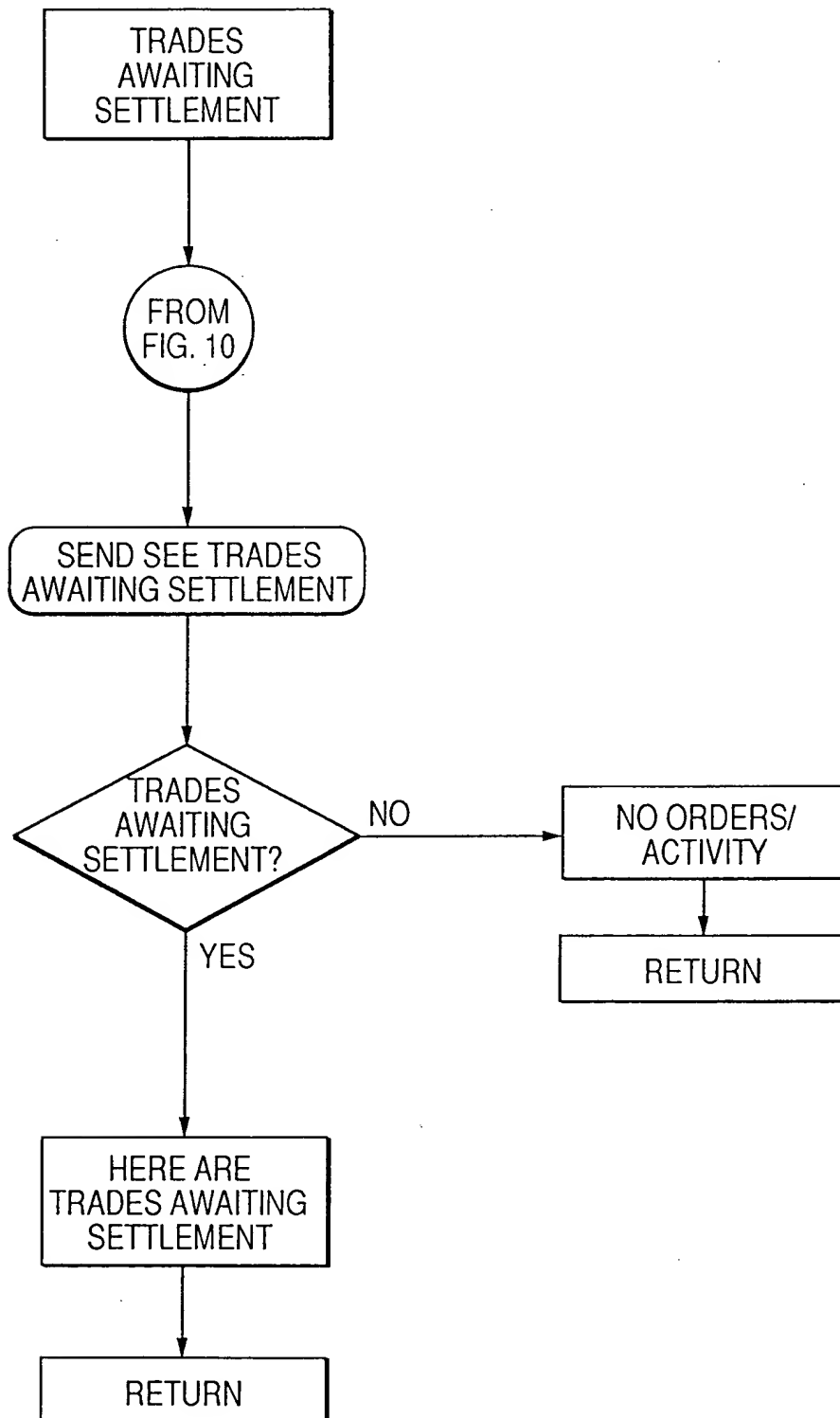
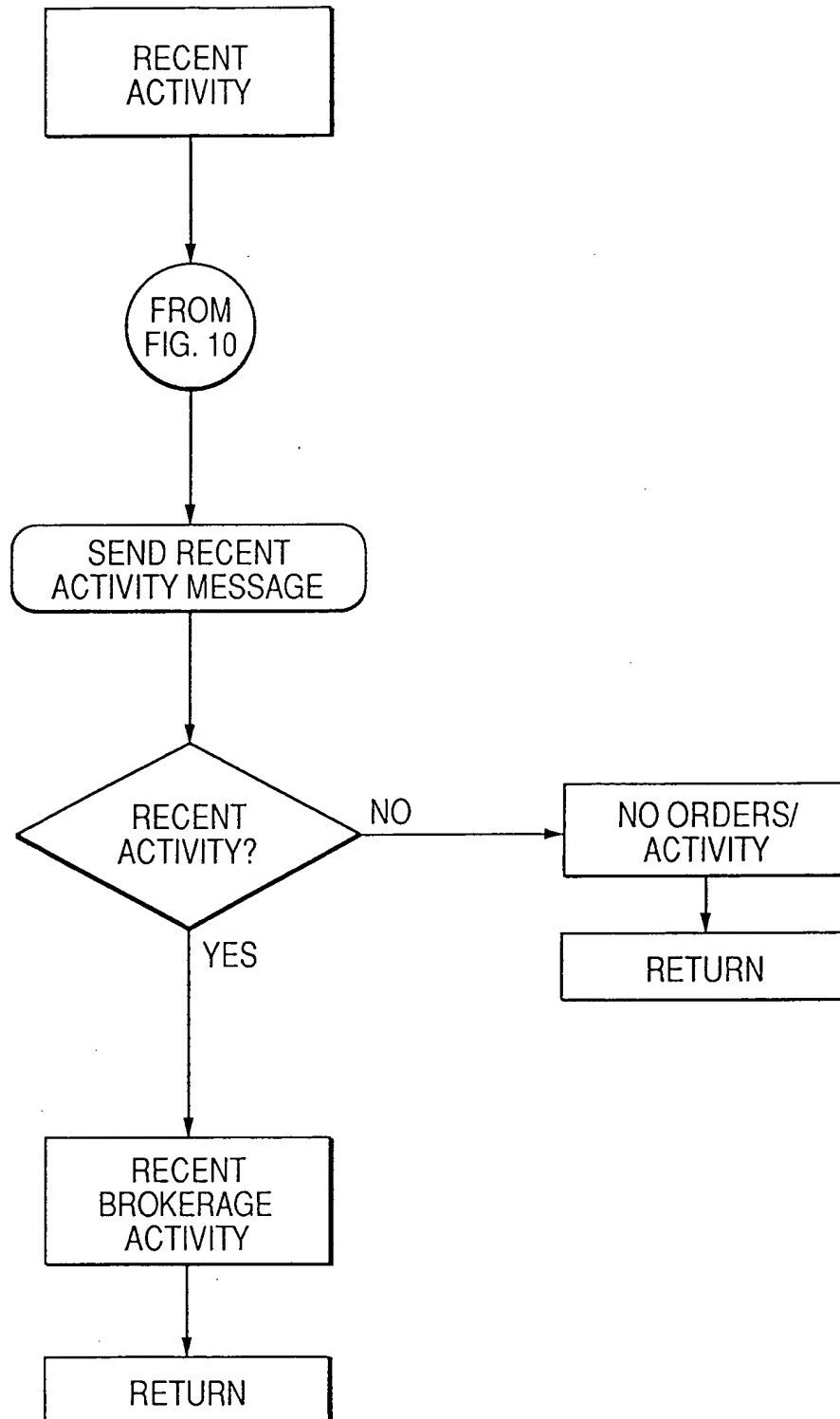




FIG. 13



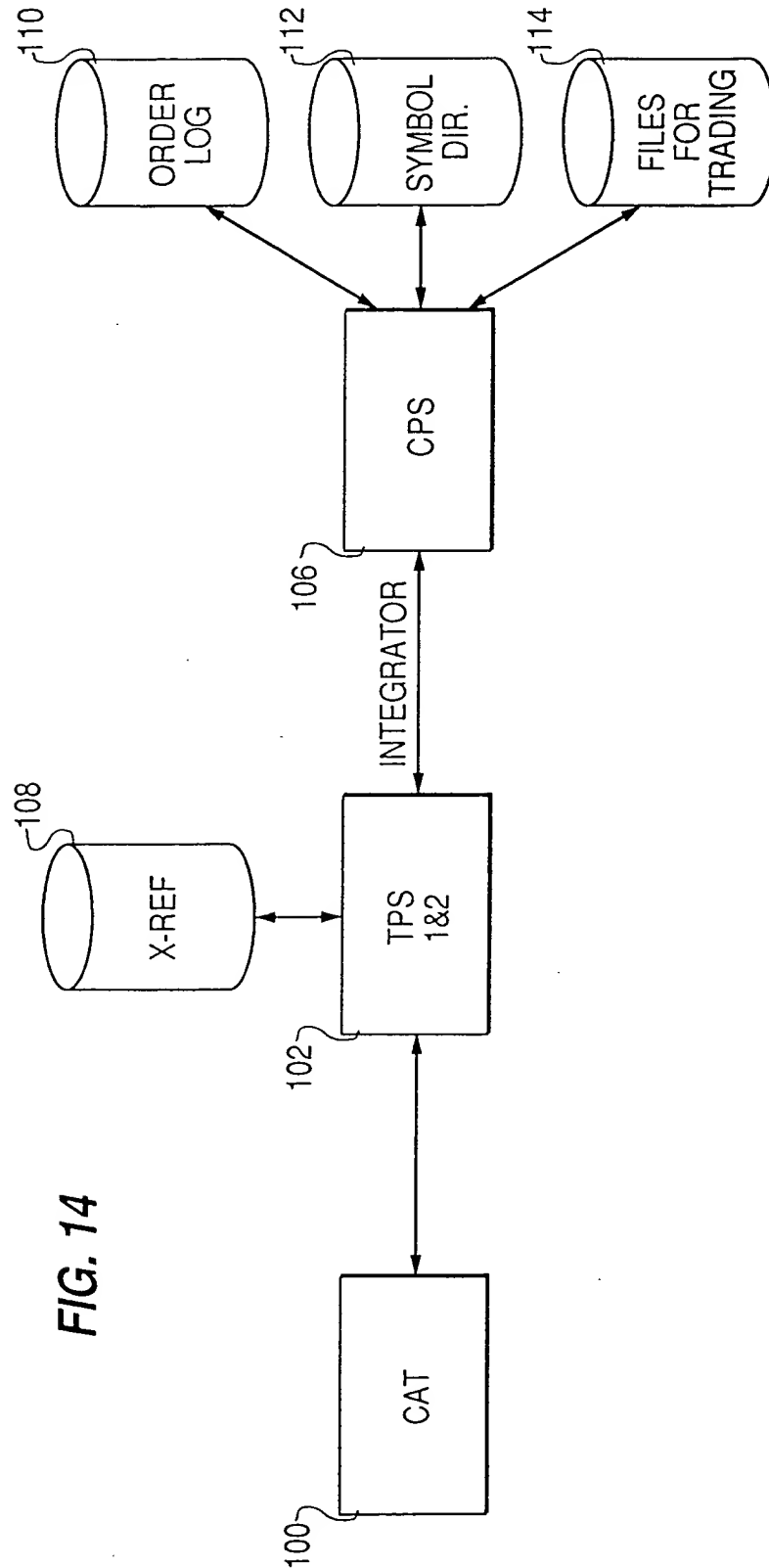
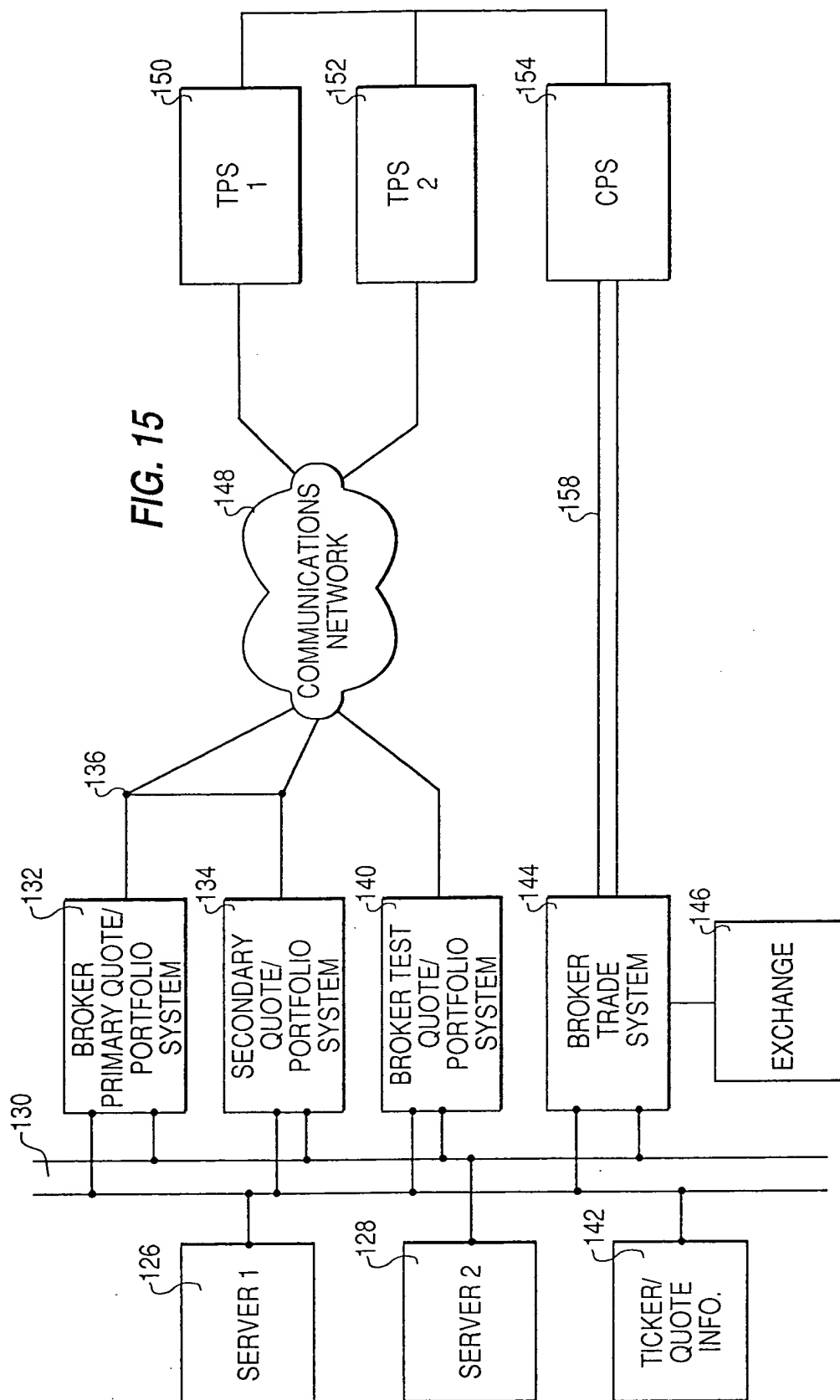


FIG. 14



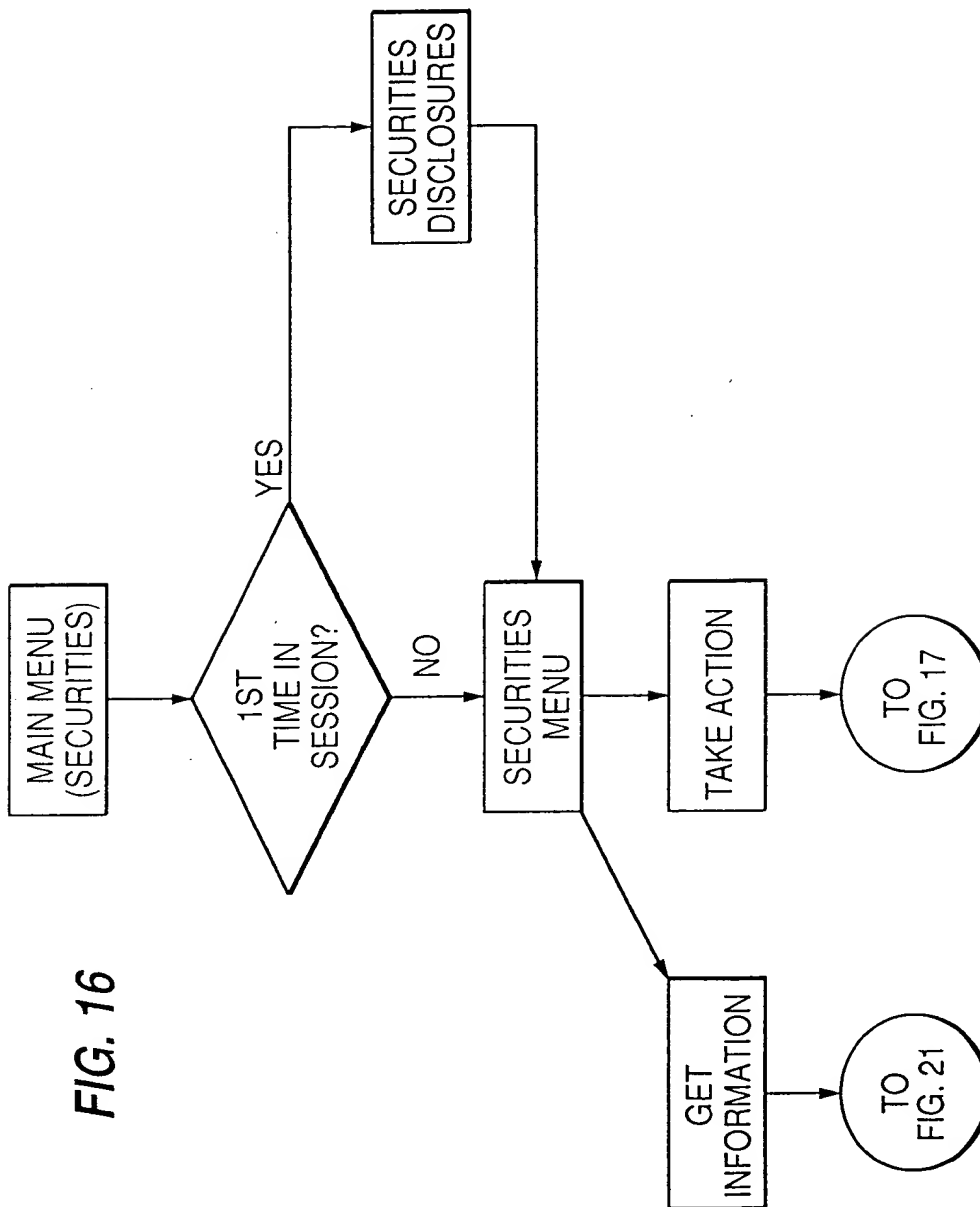




FIG. 17

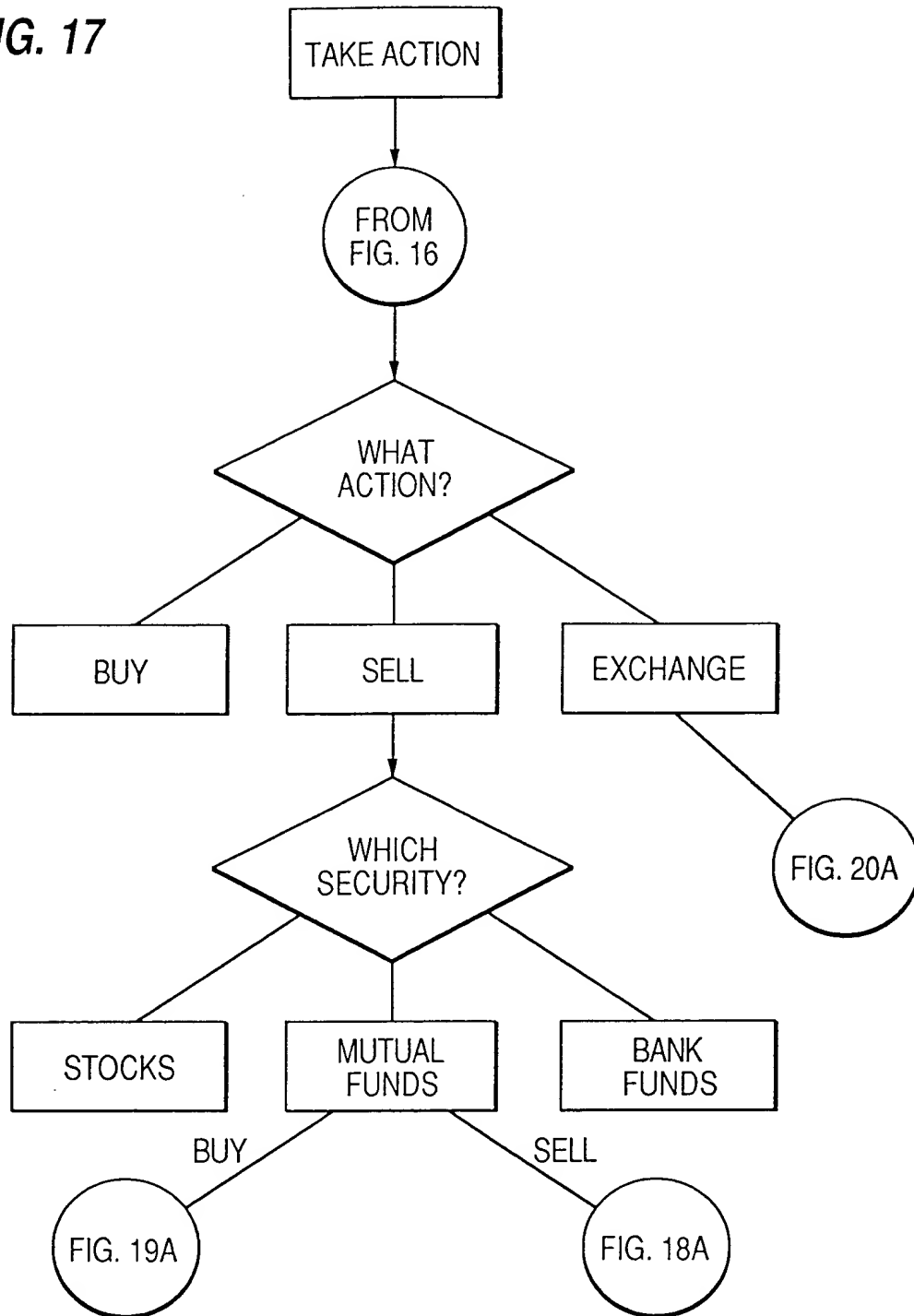




FIG. 18A

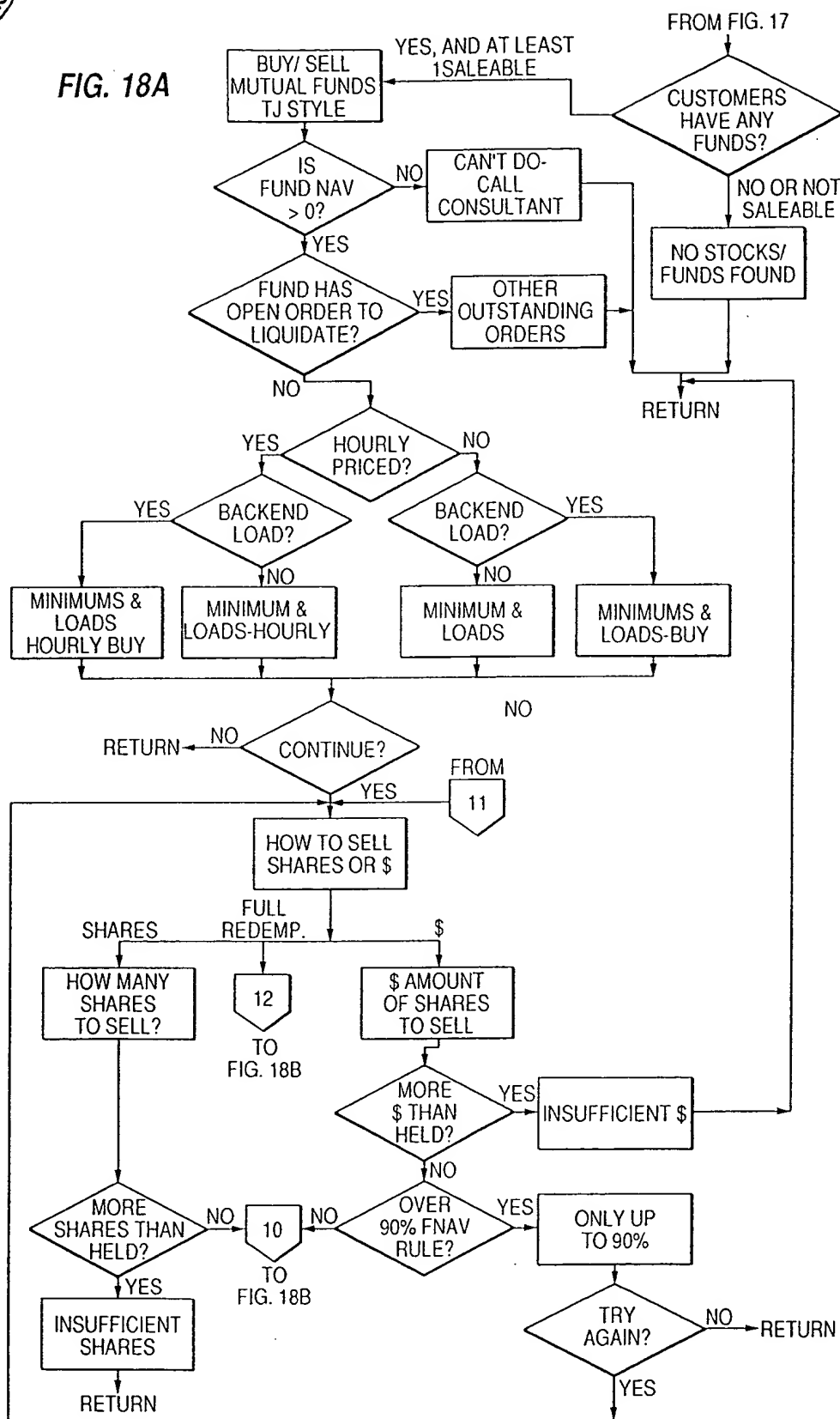
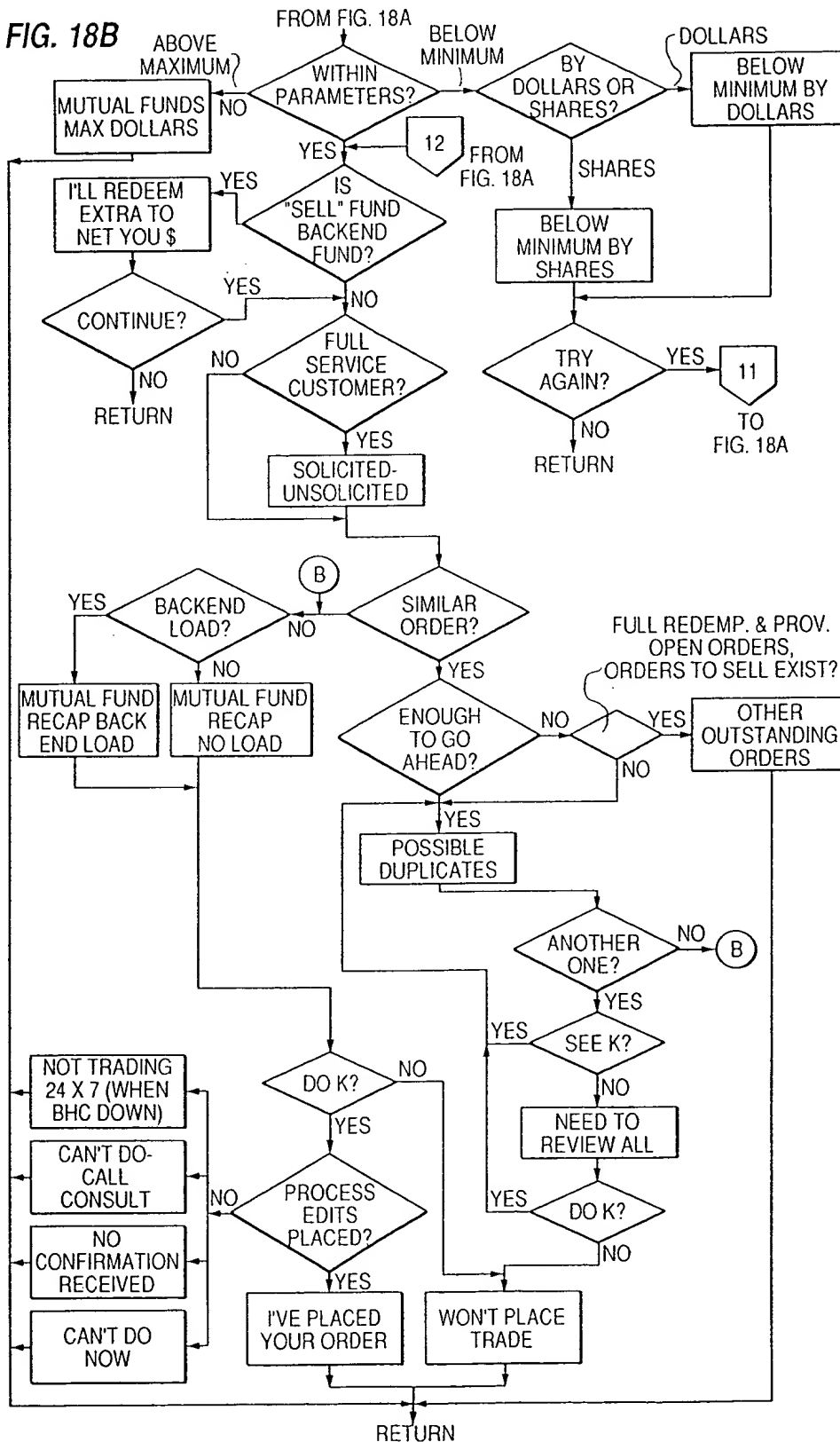




FIG. 18B



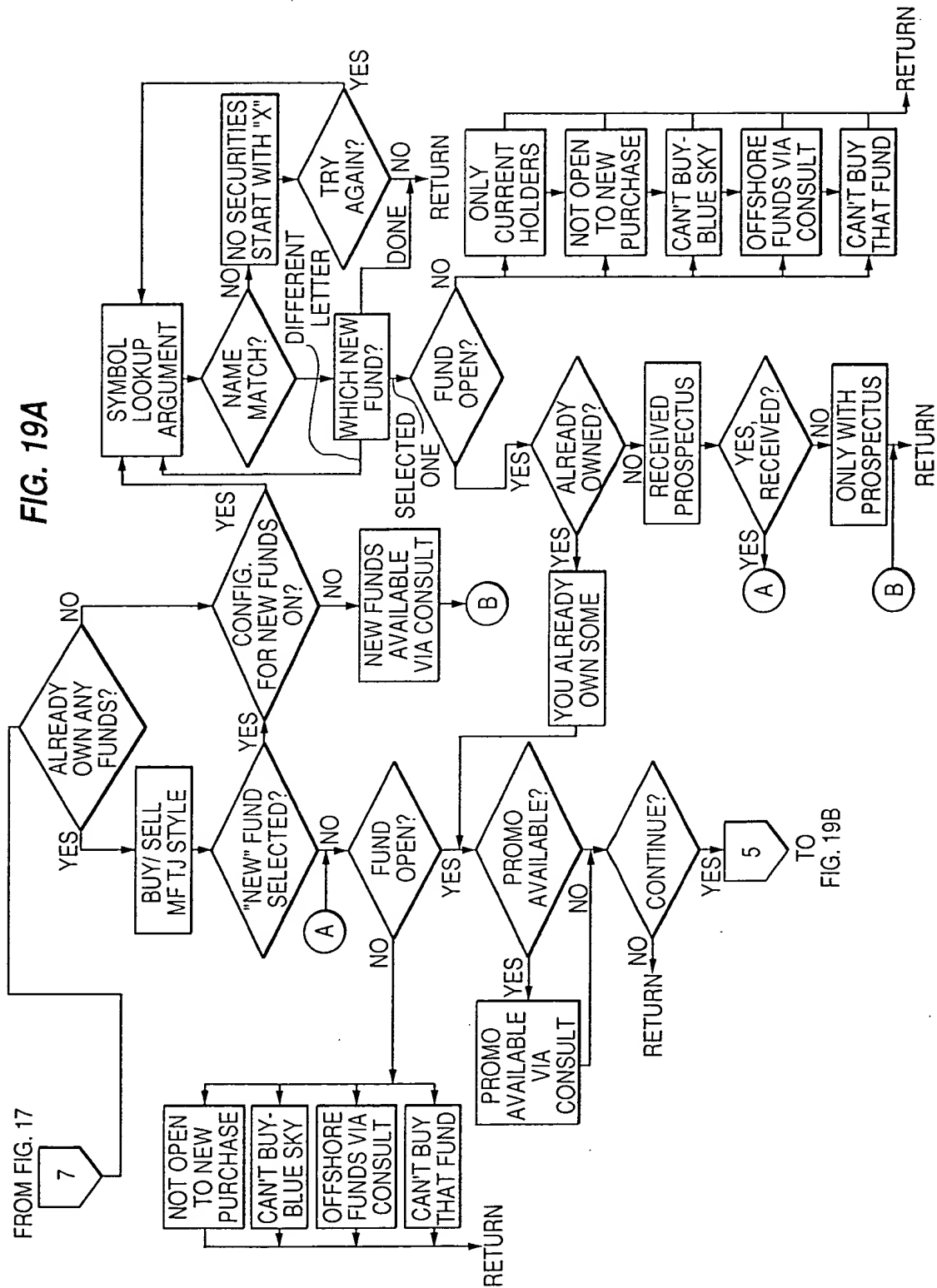
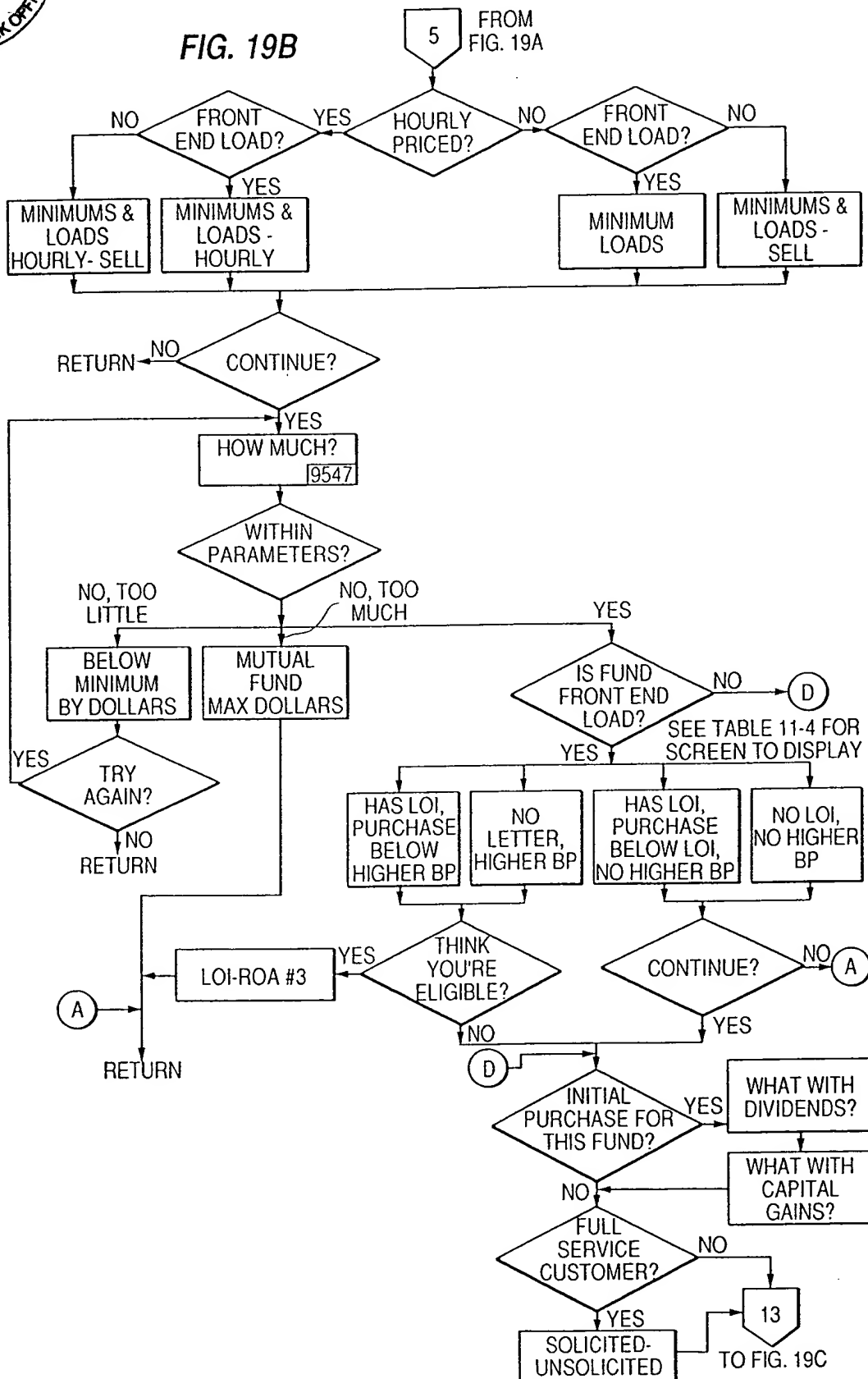




FIG. 19B



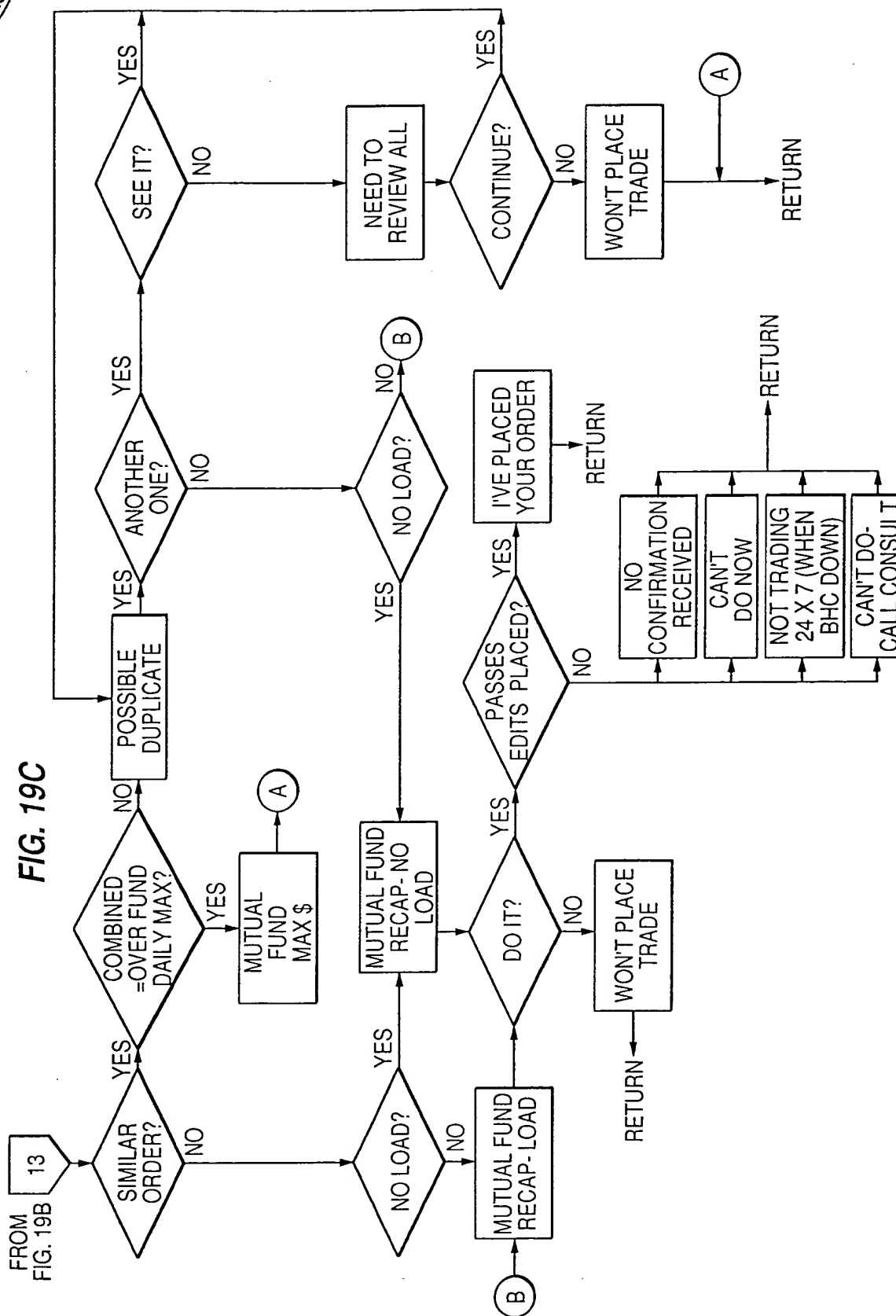




FIG. 20A

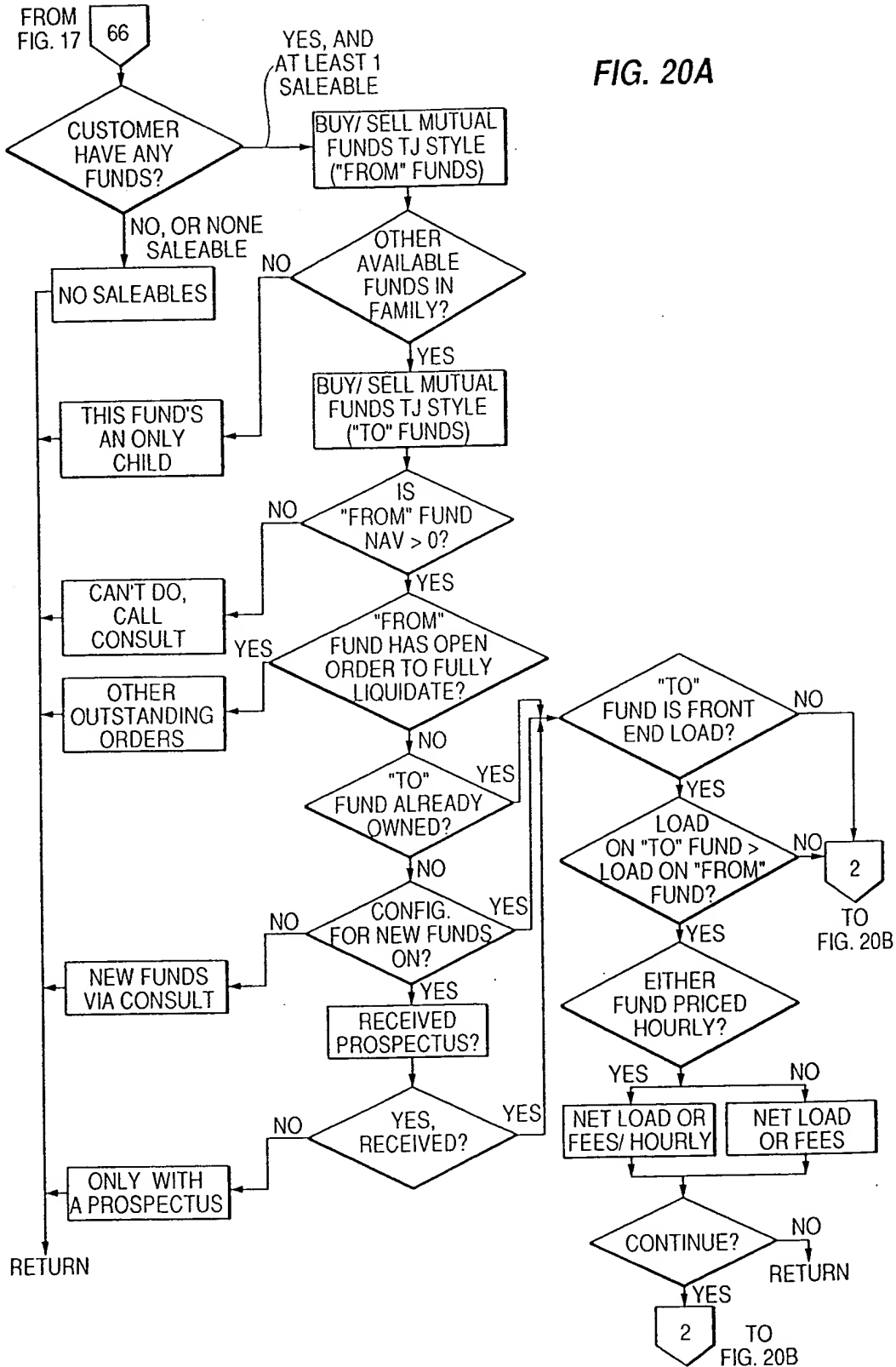




FIG. 20B

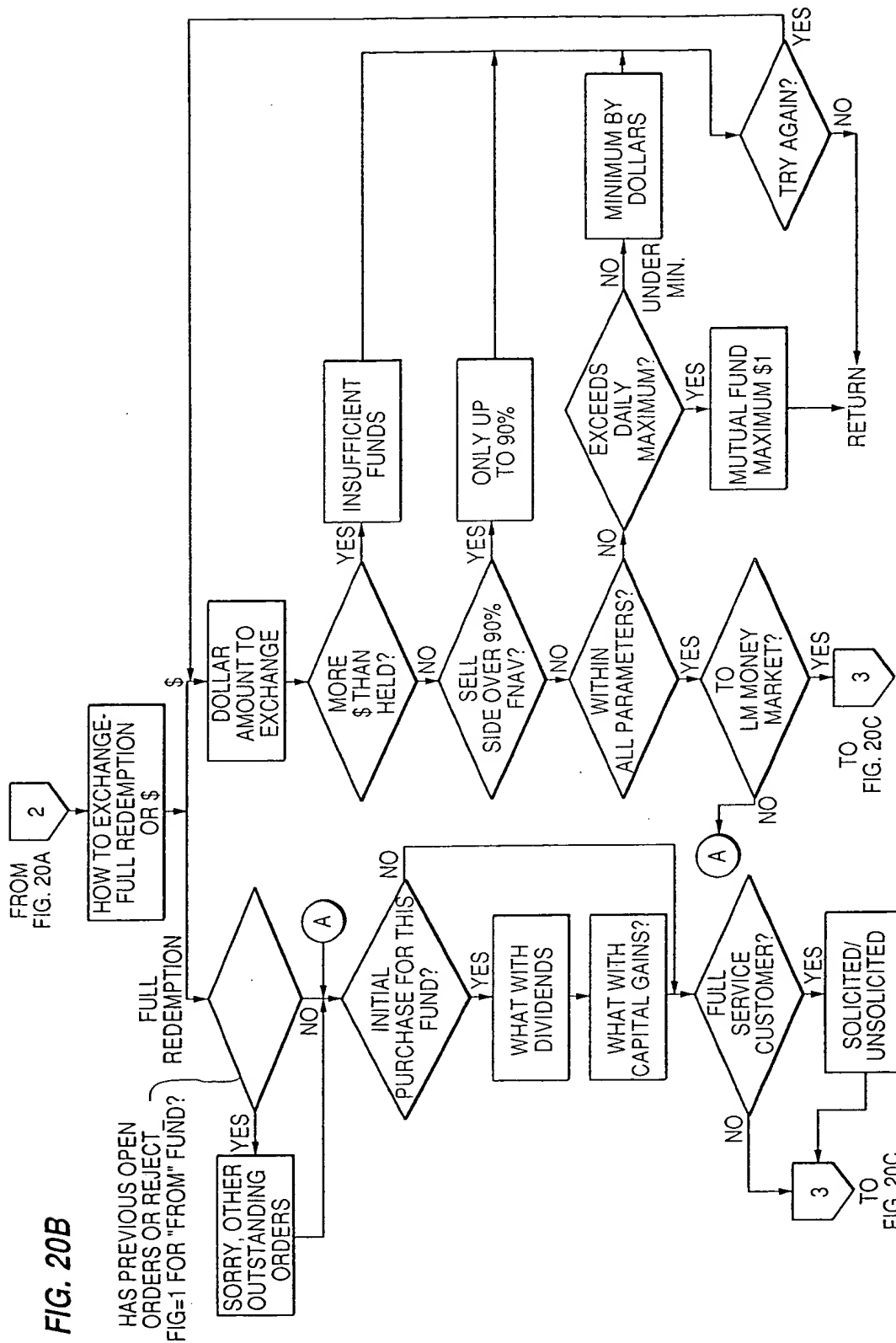


FIG. 20C

```
graph TD
    Start([FROM FIG. 20B]) --> 3[3]
    3 --> Similar{SIMILAR ORDER?}
    Similar -- YES --> Enough{ENOUGH TO GO AHEAD?}
    Similar -- NO --> A1((A))
    A1 --> Recap[MUTUAL FUND RECAP]
    Enough -- YES --> Duplicate[Possible Duplicate]
    Enough -- NO --> A2((A))
    Duplicate --> Another{ANOTHER ONE?}
    Another -- YES --> SeeIt{SEE IT?}
    Another -- NO --> A2
    SeeIt -- YES --> Duplicate
    SeeIt -- NO --> Review[NEED TO REVIEW ALL]
    Review --> DoIt1{DO IT?}
    DoIt1 -- YES --> Duplicate
    DoIt1 -- NO --> B1((B))
    B1 --> PosDupe[POS DUPE MAKES NSF.]
    PosDupe --> DoIt2{DO IT?}
    DoIt2 -- YES --> Passes{PASSES EDITS PLACED?}
    DoIt2 -- NO --> B2((B))
    Passes -- YES --> Placed[I'VE PLACED YOUR ORDER]
    Placed --> Return([RETURN])
    Passes -- NO --> B2
    B2 --> WonTrade[WON'T PLACE TRADE]
    WonTrade --> DoIt3{DO IT?}
    DoIt3 -- YES --> Passes
    DoIt3 -- NO --> B2
    B2 --> CanConsult[CAN'T DO CALL CONSULT]
    CanConsult --> NoConf[NO CONFIRMATION RECEIVED]
    NoConf --> CanNow[CAN'T DO NOW]
    CanNow --> NotTrading[NOT TRADING 24 X 7 (WHEN BHC DOWN)]
    NotTrading --> Return
```

Flowchart illustrating the process of checking for duplicate orders and handling them:

- Start (FROM FIG. 20B) leads to a connector box labeled 3.
- Decision: SIMILAR ORDER?
 - YES: Proceeds to ENOUGH TO GO AHEAD?.
 - NO: Proceeds to connector A, then MUTUAL FUND RECAP.
- Decision: ENOUGH TO GO AHEAD?
 - YES: Proceeds to POSSIBLE DUPLICATE.
 - NO: Proceeds to connector A.
- POSSIBLE DUPLICATE leads to Decision: ANOTHER ONE?
 - YES: Proceeds to SEE IT?.
 - NO: Proceeds to connector A.
- SEE IT? Decision:
 - YES: Loops back to POSSIBLE DUPLICATE.
 - NO: Proceeds to NEED TO REVIEW ALL.
- NEED TO REVIEW ALL leads to Decision: DO IT?
 - YES: Loops back to POSSIBLE DUPLICATE.
 - NO: Proceeds to connector B.
- Connector B leads to POS DUPE MAKES NSF., which leads to Decision: DO IT?
 - YES: Proceeds to PASSES EDITS PLACED?.
 - NO: Proceeds to connector B.
- PASSES EDITS PLACED? Decision:
 - YES: Proceeds to I'VE PLACED YOUR ORDER, then RETURN.
 - NO: Proceeds to connector B.
- Connector B leads to WON'T PLACE TRADE, which leads to Decision: DO IT?
 - YES: Loops back to PASSES EDITS PLACED?.
 - NO: Proceeds to connector B.
- Connector B leads to a sequence of boxes: CAN'T DO CALL CONSULT, NO CONFIRMATION RECEIVED, CAN'T DO NOW, and NOT TRADING 24 X 7 (WHEN BHC DOWN), all leading to RETURN.



FIG. 21

